



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2/6/1

Patent Application of:

NEYMAN et al.

Serial No.: 09/603,389

Filed: 6/23/00

For: COMPOUND ORDER HANDLING IN AN ANONYMOUS TRADING SYSTEM

Our Ref.: P/3879-14

Date: March 29, 2001

Group Art Unit: --

Examiner: --

Assistant Commissioner of Patents  
Washington, D.C. 20231

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Technology Center 2100

SUBMISSION

Sir:

<input checked="" type="checkbox"/>	Submitted herewith is a copy of art together with an art listing form listing the same for the convenience of the Examiner.
<input type="checkbox"/>	The document(s) listed on the attached art listing form was/were cited in a Search Report issued by a foreign patent office in a related application. A copy of the Search Report (in the English language) is attached hereto for the Examiner's reference.
<input type="checkbox"/>	The Japanese Publication(s) listed on the attached art listing form was/were cited in a Japanese Office Action issued in a related application. A copy of the Japanese Office Action and an English-language translation of the relevant portions are also attached.
<input type="checkbox"/>	This submission is being made after the issuance of a first Office Action and three months after the application filing date. Thus a Certification Under 37 C.F.R. §1.97(e) is set forth below.
<input type="checkbox"/>	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Submission (37 C.F.R. §1.97(e)).
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<input type="checkbox"/>	This submission is being made after the issuance of the first Office Action and without a certification. The fee of \$180.00 under 37 C.F.R. §1.17(p) is attached.
<input type="checkbox"/>	This submission is being made after the issuance of a final rejection or a Notice of Allowance but prior to the payment of the issue fee. Applicant(s) hereby attach the fee of \$180.00 under 37 C.F.R. §1.17(I). A certification under 37 C.F.R. §1.97(e) is set forth above.

## EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL613109250US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231-9999, on March 29, 2001:

Dorothy Jenkins

Name of Person Mailing Correspondence ,

Signature

March 29, 2001

Date of Signature

Respectfully submitted,

  
Max Moskowitz  
Registration No.: 30,576  
OSTROLENK, FABER, GERB & SOFFEN, LLP  
1180 Avenue of the Americas  
New York, New York 10036-8403  
Telephone: (212) 382-0700

SIW/MM:sks/Enclosure PTO-1449 (with 100 references total)